

AF # 22w

WEMMH/SB/21 (4/03)

TRANSMITTAL FORM

(to be used for all correspondence after initial filing)

Application Number	09/856.745
Filing Date	September 24, 2001
First Named Inventor	Mark G. LUEHRMANN
Group Art Unit	3682
Examiner Name	Bradley J. Van Pelt
Attorney Docket Number	8016-547/8-02-12017

Total Number of Pages in this Submission

ENCLOSURES (check all that apply)

<input checked="" type="checkbox"/> Fee Transmittal Form	<input type="checkbox"/> Assignment Papers	<input type="checkbox"/> After Allowance Communication to Group
<input checked="" type="checkbox"/> Fee Attached see PTO-2038 form	<input type="checkbox"/> Drawing(s)	<input type="checkbox"/> Appeal Communication to Board of Appeals and Interferences
<input type="checkbox"/> Amendment Response	<input type="checkbox"/> Licensing-related Papers	<input checked="" type="checkbox"/> Appeal Communication to Group (Appeal Notice, <u>Brief</u> , Reply Brief) in triplicate
<input type="checkbox"/> After Final	<input type="checkbox"/> To Convert a Provisional Application	<input type="checkbox"/> Proprietary Information
<input type="checkbox"/> Affidavits/declaration(s)	<input type="checkbox"/> Power of Attorney, Revocation, Change of Correspondence Address	<input type="checkbox"/> Status Letter
<input type="checkbox"/> Extension of Time Request -	<input type="checkbox"/> Terminal Disclaimer	<input type="checkbox"/> Additional Enclosure (please identify below)
<input type="checkbox"/> Express Abandonment Request	<input type="checkbox"/> Small Entity Statement	<input checked="" type="checkbox"/> Return Receipt Postcard
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<input type="checkbox"/> Certified Copy of Priority Documents		
<input type="checkbox"/> Response to Missing Parts/ Incomplete Application	Remarks	
<input type="checkbox"/> Response to Missing Parts under 37 CFR 1.52 or 1.53		

SIGNATURE OF APPLICANT, ATTORNEY, OR AGENT

Firm or Individual Name	James M. Durlacher Woodard, Emhardt, Moriarty, McNett & Henry LLP
Signature	<i>James M. Durlacher</i>
Date	February 15, 2005

Certificate of Mailing

I hereby certify that this correspondence is being deposited with the United States Postal Service as first class mail in an envelope addressed to: Commissioner for Patents, P. O. Box 1450, Alexandria, VA 22313-1450 on this date: **February 15, 2005**

Typed or printed name	James M. Durlacher, Reg. No. 28,840
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Signature	<i>James M. Durlacher</i>	Date	February 15, 2005
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FEE TRANSMITTAL**FOR FY 2005 FEB 18 2005**

Effective 12/08/2004.

Fees pursuant to the Consolidated Appropriations Act (H.R. 4818).

☐ Applicant claims small entity status. See 37 CFR 1.201.Total Amount of Payment (\$)**500.00****Complete if Known**

Application Number	09/856,745
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First Named Inventor	Mark G. LUEHRMANN
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METHOD OF PAYMENT (check all that apply)☐ Check ☒ Credit card ☐ Money Order ☐ Other ☐ None ☐ Other (please identify):☐ Deposit Account: Deposit Account Number **23-3030** Deposit Account Name **Woodard, Emhardt, Moriarty, McNett & Henry LLP****See PTO 2038 Form**

The Director is authorized to: (check all that apply)

☐ Charge fee(s) indicated below ☒ Credit any overpayments ☒ Charge any additional fee(s) during the pendency of this application, excluding the payment of issue fees☐ Charge fee(s) indicated below, except for the filing fee to the above-identified deposit account.**FEE CALCULATION:****1. BASIC FILING, SEARCH AND EXAMINATION FEES**

Application Type	FILING FEES		SEARCH FEES		EXAMINATION FEES		Fees Paid (\$)
	Fee (\$)	Small Entity Fee (\$)	Fee (\$)	Small Entity Fee (\$)	Fee (\$)	Small Entity Fee (\$)	
Utility	300	150	500	250	200	100	\$ 0
Design	200	100	100	50	130	65	
Plant	200	100	300	150	160	80	
Reissue	300	150	500	250	600	300	
Provisional	200	100	0	0	0	0	

2. EXCESS CLAIM FEES**Fee Description**

Each claim over 20 or, for Reissues, each claim over 20 and more than in the original patent

Fee (\$) **Small Entity Fee (\$)**

50 25

Each independent claim over 3 or, for Reissues, each independent claim more than in the original patent

200 100

Multiple dependent claims

360 180

Total Claims **Extra Claims** **Fee (\$)** **Fee Paid (\$)****Multiple Dependent Claims**

* - 20 or HP = * x 50 = (\$)*

Fee **Fee Paid (\$)**

(HP = highest number of total claims paid for, if greater than 20)

Indep. Claims **Extra Claims** **Fee (\$)** **Fee Paid (\$)**

360 \$ 0

* - 3 or HP = * x 200 = (\$)*

(HP = highest number of independent claims paid for, if greater than 3)

3. APPLICATION SIZE FEE

If the specification and drawings exceed 100 sheets of paper, the application size fee due is \$250 (\$125 for small entity) for each additional 50 sheets or fraction thereof. See 35 U.S.C. 41(a)(1)(G) and 37 CFR 1.16(s).

Total Sheets **Extra Sheets** **Number of each additional 50 or fraction thereof** **Fee (\$)** **Fee Paid (\$)**

-100 = / 50 = (round up to a whole number) x =

0
Fee Paid (\$)**4. OTHER FEE(S)**

Non-English Specification.

Other: **Fee for Filing Appeal Brief (Large Entity)****\$500****SUBMITTED BY:**

Name (Print/Type):	James M. Durlacher	Registration No.: (Attorney/Agent)	28,840	Telephone:	(317) 634-3456
Signature:	James M. Durlacher			Date:	February 15, 2005

CERTIFICATE OF MAILING OR TRANSMISSION

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Name (Print/Type)	James M. Durlacher	Date	February 15, 2005
Signature	James M. Durlacher		

FEB 18 2005

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE
BEFORE THE BOARD OF PATENT APPEALS AND INTERFERENCES

In re patent application of:)

Mark G. LUEHRMANN, et al.)

Serial No. 09/856,745)

Filed September 24, 2001)

**Connecting Rod with Profiled
Bore for Increased Load
Capability**

) Before the Examiner

) Bradley J. Van Pelt

) Group Art Unit 3682

) February 15, 2005

**SUBMISSION OF
APPEAL BRIEF**

Board of Patent Appeals and Interferences
Assistant Commissioner for Patents
Washington, D.C. 20231

Sir:

Submitted herewith is the Appeal Brief of Appellant, in triplicate, together with the required fee of \$500. Included with the Appeal Brief, in the attached Appendix, is a Certified Copy of a Certificate of Amendment from the Indiana Secretary of State evidencing the change of name of the Assignee from Cummins Engine Company, Inc. to Cummins Inc., as well as a copy of the claims under appeal.

No extensions of time are believed to be required and no additional fees are believed due. However, the Board is authorized to provide any additional extensions of time and charge any additional fees which are required to Deposit Account No. 23-3030.

Respectfully submitted,

By James M. Durlacher
James M. Durlacher, Reg. No. 28,840
Woodard, Emhardt, Moriarty,

McNett & Henry LLP
Bank One Center/Tower
111 Monument Circle, Suite 3700
Indianapolis, Indiana 46204-5137
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February 15, 2005

(Date of Deposit)

James M. Durlacher

Name of Registered Representative

James M. Durlacher
Signature

February 15, 2005

Date of Signature

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE
BEFORE THE BOARD OF PATENT APPEALS AND INTERFERENCES

In re patent application of:)
Mark G. LUEHRMANN, et al.) Before the Examiner
Serial No. 09/856,745) Bradley J. Van Pelt
Filed September 24, 2001) Group Art Unit 3682
February 15, 2005)
Connecting Rod with Profiled)
Bore for Increased Load)
Capability)

I hereby certify that this correspondence is being deposited with the United States Postal Service as first class mail in an envelope addressed to the Assistant Commissioner for Patents, Washington, D.C. 20231 on	
February 15, 2005	_____ (Date of Deposit)
James M. Durlacher	_____ Name of Registered Representative
<i>James M. Durlacher</i>	_____ Signature
February 15, 2005	_____ Date of Signature

APPEAL BRIEF

Board of Patent Appeals and Interferences
Assistant Commissioner for Patents
Washington, D.C. 20231

Sir:

For its Appeal Brief, Appellant submits the following information, analysis, and arguments. This Appeal Brief is formatted in accordance with the form suggested in the MPEP. If the Board requires anything further from the Appellant, please advise the undersigned attorney of record.

1. REAL PARTY IN INTEREST

The real party in interest is Cummins Inc. The Assignee at the time the parent application was filed was Cummins Engine Company, Inc. Subsequent to the parent application filing date, there was a change of corporate name effected through the Indiana Secretary of State. Included as Exhibit A to this Appeal Brief, and provided as part of the

Appendix, is a copy of the change of name (Certificate of Amendment), establishing that the current owner of the subject patent application and the real party in interest in terms of this Appeal is Cummins Inc.

2. RELATED APPEALS AND INTERFERENCES

There are no related appeals and/or interferences.

3. STATUS OF CLAIMS

Claims 26-35 are pending in the subject patent application and these ten (10) claims are being appealed. None of the canceled claims 1-25 are being appealed. A copy of claims 26-35 is included in the Appendix.

4. STATUS OF AMENDMENTS

The subject patent application stands under FINAL rejection and no amendments have been filed subsequent to the Final Office Action dated October 26, 2004.

5. SUMMARY OF INVENTION

The invention is directed to the combination of an engine cylinder piston (53) and a connecting rod (51) that are assembled together by the use of a piston pin (52). Under load, the piston pin can flex and, in order to maximize the load carrying capacity of the pin, the piston pin bore (62) through the connecting rod is profiled at opposite ends with relief portions (60, 61) that are curved in order to accommodate end deflection of the

piston pin. Support for this summary will be found in FIGS. 10, 11A and 11B and on page 8, lines 4-28, and page 9, lines 1-9 of the CIP application filed September 24, 2001.

6. ISSUES

(a.) One issue presented for review includes the Examiner's Final rejection of claims 26-35 under 35 U.S.C. §103(a) based on a combination of Justinien et al. (U.S. Patent No. 3,161,185) in view of Fangman (U.S. Patent No. 3,479,929). Appellant takes the position that claims 26-35 should be allowed.

(b.) Another issue presented for review pertains to the Examiner's interpretation of the Justinien et al. patent in terms of "rods 8" and the "profiled bore sections".

(c.) Another issue presented for review pertains to the Examiner's conclusion that there is motivation to combine the Justinien et al. patent and the Fangman patent.

7. GROUPING OF CLAIMS

For the purpose of this Appeal, claims 26, 27, 29, 31, 32, and 34 are grouped under the first grounds of rejection. Claims 28, 30, 33, and 35 are grouped under the second grounds of rejection. Appellant is contesting both grounds and the Board should proceed to select a single claim from each group and decide the Appeal on the basis of that claim alone.

8. ARGUMENT

The three issues presented in Section 6 of this Appeal Brief are separately set forth with a more detailed explanation of each, followed by Appellant's arguments in support of patentability.

(a.) The Combination of Justinien et al. And Fangman Does Not Create The Claimed Invention.

This issue pertains to the overall rejection of claims 26-35 under 35 U.S.C. §103(a) based upon Justinien et al. in view of Fangman. The Examiner contends not only that it would be obvious to combine these two references, but also that the result of doing so is the creation of the claimed invention. Appellant disagrees.

In terms of independent claims 26 and 31, the Examiner relies on the Justinien et al. patent for all of the claimed elements except that the "bore" receiving the pin is not integral with the connecting rod. The Examiner believes that the Fangman patent provides this deficiency. As best understood, the Examiner acknowledges that in Justinien et al. the central ring 14 has a radiused curvature that is contacted by rods 8 (ten total, see FIG. 3). The Examiner presumably accepts the obvious fact that ring 14 is not part of the connecting rod, and that it is purposefully configured as a separate and distinct component. The Examiner also presumably understands that introducing the "bore" disclosure from Fangman requires removal of the central ring 14. The purpose behind ring 14 is explained in column 3, lines 35-43, of the Justinien et al. patent. An understanding of the structure and purpose behind ring 14 makes it clear that the theory

and focus of the Justinien et al. patent would be significantly transformed once ring 14 is removed.

Further, there is nothing in the Fangman disclosure that suggests or supports what the Examiner wants to do in terms of totally eliminating ring 14 from the Justinien et al. structure. As will be noted, the Fangman patent only discloses a pin with a plurality of arcuate surfaces described in the specification as having an I-beam shape. What the Examiner would like to call a “bore” is a non-cylindrical “aperture 22”. To the extent that the common understanding of the term “bore” is a drilled hole, a non-cylindrical aperture would not correspond.

Further, what the Fangman patent discloses and all that it discloses in terms of the aperture and pin construction is that with an I-beam shaped pin and a non-cylindrical aperture, there will be only partial contact and not full cylindrical contact between the pin and the “bore”. With this partial (point or edge) contact the concept of “bore” profiling for added load bearing capacity is irrelevant and would never be assumed from the Fangman patent.

The shapes of Fangman are critical in terms of its focus which is to address the fact that the top of the piston gets hotter than the lower portion and this results in unequal thermal expansion and distortion of the piston into an inverted conical shape. There is nothing here about profiling the bore for improved load carrying capacity.

Removal of ring 14 from the Justinien et al. structure as the Examiner wants to do means that the rods 8 will not contact the connecting rod bore. A simple visual examination of FIGS. 2 and 3 in the Justinien et al. patent confirm this fact. Removing ring 14 creates a gap between the rods 8 and the connection rod and nothing more. Do

we also have to remove rings 11? If we do remove rings 11, do we then increase the number of central rods 9 and/or their diameter? Do we increase the diameter of rods 8? Perhaps we are supposed to insert the Fangman I-beam shaped pin. There is absolutely no way to tell what the Examiner expects to happen once ring 14, and perhaps rings 11 are removed. There is also no suggestion or teaching in Justinien et al. that those members could be removed and/or the connecting rod profiled in some manner. We do know that for contact with the connecting rod bore some type of significant design change to the Justinien et al. structure is required and no one knows the performance consequences once this structure is reconfigured. What we do know is that this type of change completely distorts and changes the entire theory and focus of the Justinien et al. invention. This goes far beyond what is permitted by the Examiner and validates that hindsight speculation is being used. We also know that the result of combining Justinien et al. and Fangman is not the creation of Appellant's claimed invention. Even if we agree that the Fangman disclosure does not require the insertion of an I-beam shaped pin, what we do obtain from Fangman is that the points of contact are just that, points of contact rather than full cylindrical contact.

(b.) The Examiner's Interpretation Of The Justinien et al. Patent In Terms Of "Rods 8" And The "Profiled Bore Sections" Is Flawed.

The Examiner states that Justinien et al. discloses a structure that includes "a piston pin (8) constructed and arranged for connecting together said piston and said connecting rod". A single pin is able to achieve the connection. In the embodiment of

FIGS. 2 and 3 of the Justinien et al. patent, there are ten (10) peripheral “rods” 8 that must cooperate with central rods 9, balls 10, and rings 11 to create the piston-to-connecting rod connection. There is no single piston pin 8 that is constructed and arranged to connect together the piston and the connecting rod. The only way that this connection is created is by a very elaborate combination of multiple components, not just one [piston pin] rod 8. A brief look at FIGS. 2 and 3 of the Justinien et al. patent confirms this fact.

The independent claims 26 and 31 recite “a piston pin” and the phrase “resulting in piston pin deflection”. This language is singular as to both the piston pin and the piston pin deflection. It is this single pin that achieves the described connection. Appellant is not claiming multiple pins with multiple pin deflections. Presumably, the Justinien et al. structure would have a total of at least ten (10) deflections for rod 8 and some plurality of deflections for rods 9. The different interaction and performance of deflecting a bundle of rods as opposed to a single solid pin involves a great deal of speculation. It is suggested that no one can predict precisely what occurs with the structure. One thing that we do know is that if two pins or rods are placed side-by-side and then bent in a direction, the deflections are different and the two rods behave differently, depending on their inner or outer location relative to the direction of bending. There is no basis in fact or theory for the Examiner to contend that a large bundle of multiple rods of different lengths are equivalent to “a piston pin”. There is a huge difference between deflection of the Justinien et al. multiple rod design and the single piston pin design of the Appellant. Further, a single rod isolated out of the Justinien et al.

structure is unable to perform any function in terms of pinning or connecting the connecting rod to the piston.

In the Examiner's rejection, the opposite ends of ring 14 are treated as the first and second profiled bore sections as recited in the pending and rejected claims. The Examiner refers to column 3, lines 40-45, for support. However, it is Appellant's "bore" that is profiled, not an intermediate component. Once the Examiner discards ring 14 so that the "bore" will be integral with the connecting rod, there are no profiled bore sections remaining. There is nothing else in Justinien et al. to show a profiled structure. Consequently, what the Examiner would like to do is rely on ring 14 for the geometry of its ends and then throw ring 14 away so that the bore that receives the pin will be integral with the connecting rod. The "bore" being added from Fangman for its integral nature relative to the connecting rod does not have profiled bore sections.

The Examiner is not entitled to reject the claims by using two different prior art combinations at the same time for the same claim and picking to retain a component of the prior art when it suits his purposes for one part of the rejection and then discard that component when it does not suit his purpose for another part of the rejection. When the Examiner needs a bore that is integral with the connecting rod, he throws away ring 14. However, when the Examiner does this, he also throws away any profiled bore sections.

(c.) The Examiner's Contention That There Is Motivation To Combine The Justinien et al. Patent And The Fangman Patent Is Flawed

The Examiner characterizes Justinien et al. (see page 4 of the Final Office Action) as being equivalent to the claimed invention except that the bore is not integral with the

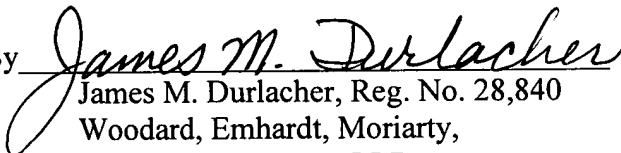
connecting rod due to the use of ring 14. We know that this is not true in view of the significant difference between Appellant's use of a single piston pin versus Justinien et al.'s multiple peripheral rods 8 and multiple central rods 9. It is not appropriate to first misstate or mischaracterize the similarities of the prior art to the claimed invention and then build upon that error to establish the requisite motivation.

Neither cited reference discloses, suggests, or teaches the combination that the Examiner is attempting to make. Before obviousness may be established, the Examiner must show that there is either a suggestion in the art to produce the claimed invention or a compelling motivation based on sound scientific principles. Ex parte Kranz, 19 USPQ2d 1216, 1218 (Bd. Pat. App. & Inter., 1990). The case law makes it clear that the best defense against the subtle but powerful attraction of a hindsight-based obviousness analysis is vigorous application of the requirement for a showing of the teaching or motivation to combine prior art references. C.R. Bard, Inc. v. M3 Sys., Inc., 157 F.3d 1340 (Fed. Cir. 1998). Obviousness cannot be established by combining the teachings of prior art in order to produce the claimed invention, absent some teaching, suggestion, or incentive supporting the combination. In re Geiger, 2 USPQ2d 1276 (Fed. Cir. 1987). It is improper to reject the claimed invention for obviousness when nothing in the cited references, either alone or in combination, suggests or teaches the claimed invention. Evidence of teaching or suggestion is "essential" to avoid hindsight. In re Fine, 5 USPQ2d 1596 (Fed. Cir. 1988). Stated slightly differently, the mere fact that the prior art may be modified to reflect features of the claimed invention does not make modification, and hence the claimed invention, obvious unless the desirability of such modification is suggested by the prior art. In re Fritch, 23 USPQ2d 1780 (Fed. Cir. 1992).

(d.) Conclusion

In view of the reasons, analysis, and arguments submitted in this Appeal Brief, and with thoughtful consideration to what the two cited references do and do not disclose, claims 26-35 are respectfully requested to be allowed. The required fee for this Appeal Brief under 41.20(b)(2) is submitted herewith by a credit card authorization.

Respectfully submitted,

By 
James M. Durlacher, Reg. No. 28,840
Woodard, Emhardt, Moriarty,
McNett & Henry LLP
Bank One Center/Tower
111 Monument Circle, Suite 3700
Indianapolis, Indiana 46204-5137
(317) 634-3456

9. APPENDIX

- A. Certified Copy of “Certificate of Amendment of Cummins Engine Company, Inc.”, certified by the Indiana Secretary of State on October 15, 2004, showing change of name of Appellant, Cummins Engine Company, Inc., to Cummins Inc.

- B. Claims Under Appeal

CLAIMS

Claims 1-25 - Cancelled.

26. (Previously presented) An engine cylinder piston and connecting rod assembly comprising:

a piston;

a connecting rod;

a piston pin constructed and arranged for connecting together said piston and said connecting rod, said piston pin being subjected to a load during reciprocation of said connecting rod, resulting in piston pin deflection; and

wherein said connecting rod having a first portion assembled into said piston and defining a bore for receipt of said piston pin, said connecting rod having a first end and an opposite second end, said bore extending between said first end and said second end, said connecting rod including as part of said bore a first profiled bore section adjacent said first end and a second profiled bore section adjacent said second end, each of said first and second profiled bore sections being constructed and arranged with a size, shape, and location so as to approximate the deflection shape of said piston pin under load.

27. (Previously presented) The engine cylinder piston and connecting rod assembly of claim 26 wherein said first profiled bore section and said second profiled bore section each have a curved surface.

28. (Previously presented) The engine cylinder piston and connecting rod assembly of claim 27 wherein a surface coating is applied to said bore.

29. (Previously presented) The engine cylinder piston and connecting rod assembly of claim 26 wherein said first profiled bore section and said second profiled bore section are each shaped with a plurality of end-to-end frustoconical sections.

30. (Previously presented) The engine cylinder piston and connecting rod assembly of claim 29 wherein a surface coating is applied to said bore.

31. (Previously presented) A connecting rod for use in an engine cylinder piston and connecting rod assembly including a piston pin for connecting together said piston and said connecting rod, said piston pin being subjected to a load during reciprocation of said connecting rod, resulting in piston pin deflection, said connecting rod comprising:

a main body portion defining a bore for receipt of a piston pin, said main body portion having a first end and opposite thereto a second end, said bore extending between said first end and said second end;

a first profiled bore section adjacent said first end, said first profiled bore section being defined by said main body portion and comprising a portion of said bore; and

a second profiled bore section adjacent said second end, said second profiled bore section being defined by said main body portion and comprising a portion of said bore, wherein each of said first and second profiled bore sections being constructed and arranged with a size, shape, and location so as to approximate the deflection shape of said piston pin under load.

32. (Previously presented) The connecting rod of claim 31 wherein said first profiled bore section and said second profiled bore section each have a curved surface.

33. (Previously presented) The connecting rod of claim 32 wherein a surface coating is applied to said bore.

34. (Previously presented) The connecting rod of claim 31 wherein said first profiled bore section and said second profiled bore section are each shaped with a plurality of end-to-end frustoconical sections.

35. (Previously presented) The connecting rod of claim 34 wherein a surface coating is applied to said bore.

State of Indiana
Office of the Secretary of State

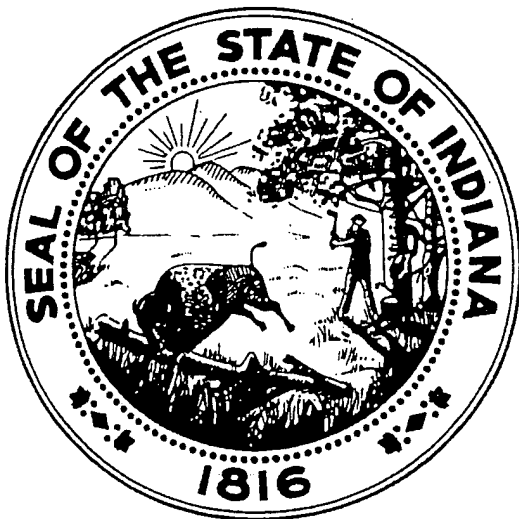
CERTIFICATE OF AMENDMENT
of
CUMMINS ENGINE COMPANY INC

I, SUE ANNE GILROY, Secretary of State of Indiana, hereby certify that Articles of Amendment of the above For-Profit Domestic Corporation have been presented to me at my office, accompanied by the fees prescribed by law and that the documentation presented conforms to law as prescribed by the provisions of the Indiana Business Corporation Law.

The name following said transaction will be:

CUMMINS INC.

NOW, THEREFORE, with this document I certify that said transaction will become effective Thursday, April 05, 2001.



In Witness Whereof, I have caused to be
affixed my signature and the seal of the
State of Indiana, at the City of
Indianapolis, April 5, 2001.

Sue Anne Gilroy

SUE ANNE GILROY,
SECRETARY OF STATE



ARTICLES OF AMENDMENT OF THE ARTICLES OF INCORPORATION

State Form 38333 (R8 / 12-96)
Approved by State Board of Accounts 1995

194062-243

SUB ANNE CHROY
SECRETARY OF STATE
CORPORATIONS DIVISION
302 W. Washington St., Rm. E018
Indianapolis, IN 46204
Telephone: (317) 232-6576

INSTRUCTIONS: Use 8 1/2" x 11" white paper for inserts.
Present original and two copies to address in upper right hand corner of this
Please TYPE or PRINT.

Indiana Code 23-1-38-1 et seq.

Filing Fee: \$30.00

ARTICLES OF AMENDMENT OF THE ARTICLES OF INCORPORATION OF:	
Name of Corporation Cummins Engine Company, Inc.	Date of incorporation February 3, 1919
The undersigned officers of the above referenced Corporation (hereinafter referred to as the "Corporation") existing pursuant to the provisions of: (indicate appropriate act) <input checked="" type="checkbox"/> Indiana Business Corporation Law <input type="checkbox"/> Indiana Professional Corporation Act of 1983 as amended (hereinafter referred to as the "Act"), desiring to give notice of corporate action effectuating amendment of certain provisions of its Articles of Incorporation, certify the following facts:	
ARTICLE I Amendment(s)	
The exact text of Article(s) _____ of the Articles	
(NOTE: If amending the name of corporation, write Article "I" in space above and write "The name of the Corporation is _____" below.)	
"The name of the Corporation is Cummins Inc."	
ARTICLE II	
Date of each amendment's adoption: April 3, 2001	

(Continued on the reverse side)

ARTICLE III Manner of Adoption and Vote

Mark applicable section: NOTE : Only in limited situations does Indiana law permit an Amendment without shareholder approval. Because a name change requires shareholder approval, Section 2 must be marked and either A or B completed.

☐ SECTION 1 This amendment was adopted by the Board of Directors or incorporators and shareholder action was not required.

☐ SECTION 2 The shareholders of the Corporation entitled to vote in respect to the amendment adopted the proposed amendment. The amendment was adopted by: (Shareholder approval may be by either A or B.)

A. Vote of such shareholders during a meeting called by the Board of Directors. The result of such vote is as follows:

41,331,548	Shares entitled to vote.
36,280,172	Number of shares represented at the meeting.
34,636,356	Shares voted in favor.
1,643,816	Shares voted against.

B. Unanimous written consent executed on _____, 19 ____ and signed by all shareholders entitled to vote.

ARTICLE IV Compliance with Legal Requirements

The manner of the adoption of the Articles of Amendment and the vote by which they were adopted constitute full legal compliance with the provisions of the Act, the Articles of Incorporation, and the By-Laws of the Corporation.

I hereby verify, subject to the penalties of perjury, that the statements contained herein are true, this 3rd day of April, ~~19~~ 2001.

Signature of current officer or chairman of the board

Printed name of officer or chairman of the board

Theodore M. Solso

Signature's title

Chairman and Chief Executive Officer

